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PTO/SB/21 (09-04)

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

10/689,258

Filing Date

10/20/2003

First Named Inventor

Daniel E. Resasco et al.

Art Unit

1754

Examiner Name

S. Hendrickson

Attorney Docket Number

5820.640

**ENCLOSURES (Check all that apply)**

Fee Transmittal Form



Fee Attached



Amendment/Reply



After Final



Affidavits/declaration(s)



Extension of Time Request



Express Abandonment Request



Information Disclosure Statement



Certified Copy of Priority Document(s)

Reply to Missing Parts/  
Incomplete ApplicationReply to Missing Parts  
under 37 CFR 1.52 or 1.53

Drawing(s)



Licensing-related Papers



Petition

Petition to Convert to a  
Provisional ApplicationPower of Attorney, Revocation of POA,  
Change of Correspondence Address

Terminal Disclaimer



Request for Refund



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After Allowance Communication to TC

Appeal Communication to Board  
of Appeals and InterferencesAppeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)

Proprietary Information



Status Letter

Other Enclosure(s) (please identify  
below):

See Below

**Remarks**

1. Transmittal Form (1 page);
2. Third Supplemental IDS (3 pages);
3. Third Supplemental Form 1449 (5 pages);
4. Copies of foreign and non-patent documents; and
5. Postcard.

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

DUNLAP, CODDING &amp; ROGERS, P.C.

Signature

Printed name

Christopher W. Corbett

Date

01/20/2006

Reg. No.

36,109

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**EXPRESS MAIL NO.: EV720060719US**

**Deposited On: January 20,, 2006**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Application No. : 10/689,258 Confirmation No.: 2882**

**Applicant(s) : Daniel E. Resasco, Walter E. Alvarez,  
Jose E. Herrera and Leandro Balzano**

**Filed : 10/20/2003**

**TC/A.U. : 1754**

**Examiner : S. Hendrickson**

**Title : METHOD FOR PRODUCING SINGLE WALLED  
CARBON NANOTUBES**

**Docket No. : 5820.640**

**Customer No. : 30589**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

**List of Sections Forming Part of This  
Information Disclosure Statement**

The following sections are being submitted for this Information Disclosure Statement:

1. [X] Preliminary Statements
2. [X] FORM PTO-1449 (Modified)
3. [X] Statement as to Information Not Found in Patents or Publications

4. ☒ Copies of Listed Information Items Accompanying this Statement
5. ☒ Identification of Person(s) Making this Information Disclosure Statement

## **Section 1. Preliminary Statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

## **Section 2. Form PTO-1449 (Modified)**

☒ A completed Form 1449 (Modified) is attached hereto.

☐ No Form 1449 (Modified) is attached.

## **Section 3. Statement as to Information Not Found in Patents or Publications (Information Not Listed in Form PTO-1449)**

## **Section 4. Copies of Listed Information Items Accompanying this Statement**

Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

☒ Exceptions to the above:

- [X] As this application is being filed after June 30, 2003, no copies of cited U.S. patents or patent application publications are submitted herewith.
- [X] Regarding the foreign patents and publications and the non-patent documents listed, legible copies of such items are attached hereto.

**Section 5. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT**

The person making this statement is the attorney who signs below on the basis of the information:

- [ ] supplied by the inventor(s)
- [ ] supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- [X] in the attorney's file

Respectfully submitted,



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Date Deposited: 01/20/2006

Substitute for form 1449A/PTO

**THIRD SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Complete if Known	
Application Number	10/689,258
Filing Date	10/20/2003
First Named Inventor	Daniel E. Resasco et al.
Group Art Unit	1754
Examiner Name	S. Hendrickson
Attorney Docket Number	5820.640

U. S. PATENT DOCUMENTS						
EXAM INIT.	Cite No. 1	<u>U.S. PATENT NUMBER</u> Number	Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		5424054		Bethune	06/13/1995	
		5456897		Moy et al.	10/10/1995	
		5500200		Mandeville et al.	03/19/1996	
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		6432866		Tennent et al.	08/13/2002	
		6479939		Yaniv et al.	11/12/2002	
		6573643		Kumar et al.	06/03/2003	
		6580225		Yaniv et al.	06/17/2003	
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		6599961		Pienkowski et al.	07/29/2003	
		6664722		Yaniv et al.	12/16/2003	
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U. S. PATENT DOCUMENTS						
EXAM INIT.	Cite No. 1	<u>U.S. PATENT NUMBER</u> Number	Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM- DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		6683783		Smalley et al.	01/27/2004	
		6699457		Cortright et al.	03/02/2004	
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## FOREIGN PATENT DOCUMENTS

EXAM INIT.	Cite No. 1	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office 3	Number 4	Kind Code5 (if known)				
			PCT/US03/19664		International Search Report	03/31/2004		
			WO 00/26138		PCT/US	05/11/2000		
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			EP 01 93 9821		European Search Report	06/09/2004		
			EP 0 945 402 A1		SHIMADZU CORP; Res. Inst. Innovative Tech. Earch	09/29/1999		
			JP 06/228824		Japanese Patent			X
			JP 11/139815		Japanese Patent	05/25/1999		X

**U.S. and Foreign:** <sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3). <sup>4</sup>Form Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

EXAM INIT.		PATENT DOCUMENTS	
		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	
		ANDERSON et al., "50 nm Polystyrene Particles via Miniemulsion Polymerization", <i>Macromolecules</i> , American Chemical Society, vol. 35, pp. 574-576, 2002.	
		BANDOW ET AL., "Purification of Single-Wall Carbon Nanotubes by Microfiltration," <i>J.Phys.Chem.B</i> , Vol. 101, (1997) pp 8839-8842.	
		BOWER et al., "Deformation of Carbon Nanotubes in Nanotube-Polymer Composites", <i>Applied Physics Letters</i> , vol. 74, no. 22, pp. 3317-3319, 05/31/1999.	
		CADEK et al., "Mechanical and Thermal Properties of CNT and CNF Reinforced Polymer Composites", <i>Structural and Electronic Properties of Molecular Nanostructures</i> , American Institute of Physics, pp. 562-565, 2002.	

EXAM INIT.		<p style="text-align: center;"><b>PATENT DOCUMENTS</b></p> <p style="text-align: center;">Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published</p>
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		LANDFESTER, "Polyreactions in Miniemulsions", Macromol. Rapid Commun., vol. 22, no. 12, pp. 896-936, 2001.
		LANDFESTER, "The Generation of Nanoparticles in Miniemulsions", Advanced Materials, vol. 13, no. 10, pp. 765-768, 05/17/2001.
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EXAM INIT.		<p align="center"><b>PATENT DOCUMENTS</b></p> <p align="center">Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published</p>
		NIYOGI et al., Communications to the Editor, "Chromatographic Purification of Soluble Single-walled Carbon Nanotubes (s-SWNTs)", J. Am. Chem. Soc., vol. 123, pp. 733-734, 2001.
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		RAZAVI, "Metallocene catalysts technology and environment", Chemistry 3, pp. 615-625, 2000.
		SEARS et al., "Raman scattering from polymerizing styrene. I. Vibrational mode analysis <sup>a)</sup> ", J. Chem. Phys., vol. 75, no. 4, pp. 1589-1598.
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		ZHAO, et al., "Chromatographic Purification and Properties of Soluble Single-Walled Carbon Nanotubes", American Chemical Society, Page Est: 4.1, pp. A-E, 02/22/2001.
		ZHU et al., "Direct Synthesis of Long Single-Walled Carbon Nanotube Strands", Science, vol. 296, pp. 884-886, 05/13/2002.
<b>Non Patent Documents:</b> <sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.		
Examiner Signature:		Date Considered:
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